ENCLOSURE F

PHASE IV ASSESSMENT

1. Introduction.

    a. This enclosure of the JTM describes how training evaluations from multiple joint training events can be converted into an assessment of training readiness and mission-essential task proficiency.

    b. A training assessment is the analytical process used by commanders to determine an organization's proficiency to accomplish the capability requirements defined in joint mission-essential tasks. The assessment phase of the JTS provides the commanders and staffs at each level of command valuable information that describes a direct payoff in terms of improved mission capability for the effort associated with the first three phases of the JTS (see Figure F-1). The goal of the assessment phase is to provide a clear structure to institutionally capture those insights and create a learning organization.[1] The assessment phase of the JTS describes how the collective training results over time are:

        (1) Translated into future training requirements for subsequent training cycles.

        (2) Developed into lessons learned.

        (3) Used to identify and resolve issues.

        (4) Made available to other users of training information.

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[1] The essence of a military learning organization is the ability to amass a body of operational and training experience, interpret that experience and change behavior to better accomplish the national military strategy. *"Hope is Not a Method,"* General Gordon R. Sullivan, USA Ret., Times Books, Random House, 1996.
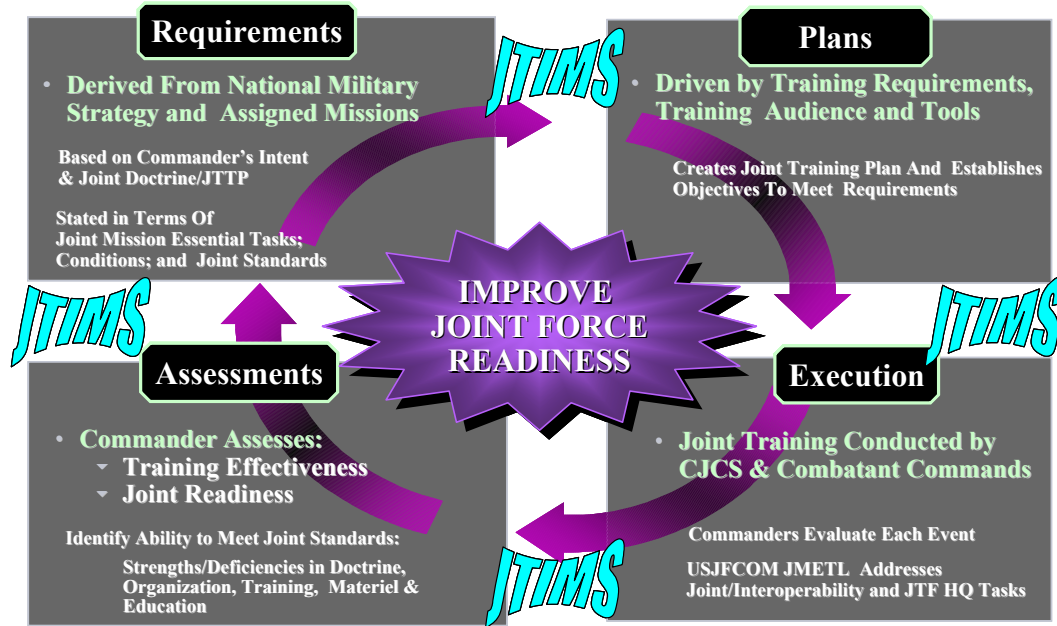
1

The Joint Training System
The Process

Requirements
- **Derived From National Military Strategy and Assigned Missions**

Based on Commander's Intent & Joint Doctrine/JTTP

Stated in Terms Of Joint Mission Essential Tasks; Conditions; and Joint Standards

Plans
- **Driven by Training Requirements, Training Audience and Tools**

Creates Joint Training Plan And Establishes Objectives To Meet Requirements

IMPROVE JOINT FORCE READINESS

Assessments
- **Commander Assesses:**
  - **Training Effectiveness**
  - **Joint Readiness**

Identify Ability to Meet Joint Standards:
Strengths/Deficiencies in Doctrine, Organization, Training, Materiel & Education

Execution
- **Joint Training Conducted by CJCS & Combatant Commands**

Commanders Evaluate Each Event

USJFCOM JMETL Addresses Joint/Interoperability and JTF HQ Tasks

2

3   Figure F-1
4   The Joint Training System Process

5

6   2.   Purpose. This enclosure describes the methodology for conducting
7   the assessment, documenting the results, and distributing those results
8   internally and externally for action. The methodology is dependent upon
9   three key factors: clear commander's guidance on how to assess the
10   training (the assessment plan), well-documented output from the
11   execution phase, (i.e., lessons learned, issues, TPOs/TPEs), and
12   disciplined support of the assessment.

13

14   3.   Evaluation vs. Assessment. Before discussing the assessment
15   process, leaders must understand the important difference between an
16   evaluation and an assessment. *During the execution phase,* the
17   commander evaluates a specific training audience's performance in
18   relation to a specific task, under specified training conditions, and a
19   designated level of performance during a particular event. *During the*
20   *assessment phase,* the commander assesses the command's ability to
21   accomplish its JMETL and perform its missions based on the totality of
22   numerous evaluations (Training Proficiency Evaluations or TPEs),
23   informal results, actual operations, and any other pertinent feedback
24   available. An evaluation is a "snapshot" of an organization's actual
25   performance. An assessment applies the commander's judgment to

1 those collective "snapshot" data points to determine the organization's
2 capability to perform in the future. Evaluation looks backward at a
3 specific event while assessment looks forward to readiness.
4
5 4. <u>Inputs, Processes, and Outputs</u>. The specific inputs, processes,
6 and outputs associated with Phase IV, Assessments, are depicted in
7 Figure F-2. Although the input and types of output are consistent from
8 command to command, process methodologies will vary because of
9 unique command assessment plans. There are four types of inputs: the
10 current JTP, data gathered during Phase III, Execution, relevant joint
11 lessons learned (JLL), and actual operations that may be applicable to
12 the assessment process (see Figure F-2, "Inputs"). The processes'
13 outputs support initial development of the commander's training
14 guidance for the next cycle: the development of Training Proficiency
15 Assessments (TPAs) and Mission Training Assessments (MTAs);
16 refinement of issues; documentation of lessons learned; and nominations
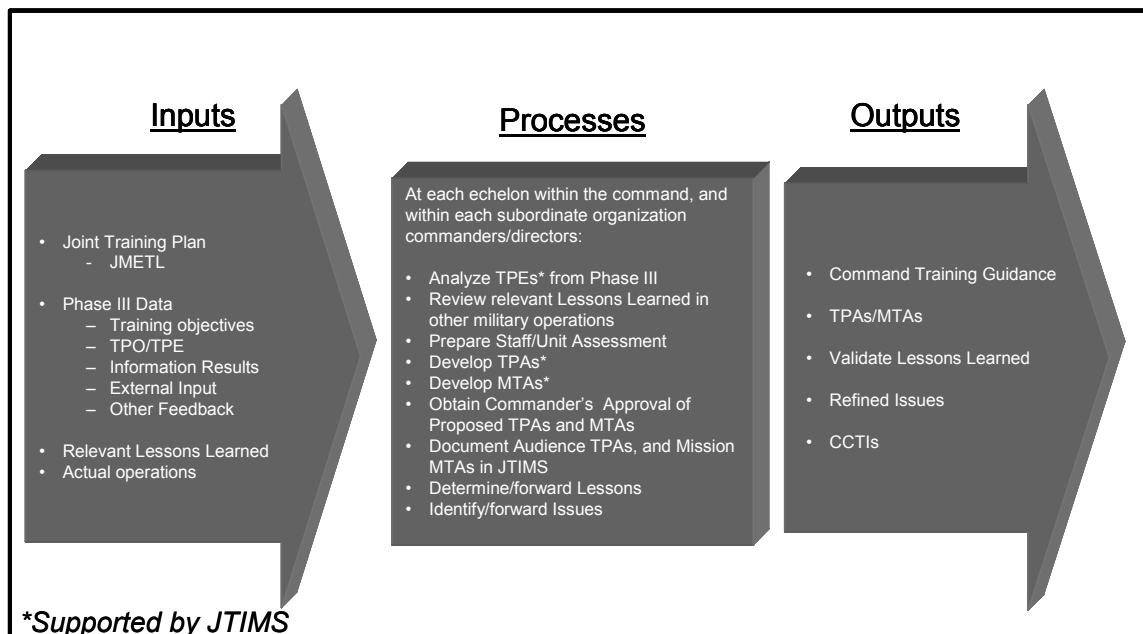17 for CJCS Commended Training Issues.
18
19

Inputs

- Joint Training Plan
  - JMETL

- Phase III Data
  - Training objectives
  - TPO/TPE
  - Information Results
  - External Input
  - Other Feedback

- Relevant Lessons Learned
- Actual operations

Processes

At each echelon within the command, and within each subordinate organization commanders/directors:

- Analyze TPEs* from Phase III
- Review relevant Lessons Learned in other military operations
- Prepare Staff/Unit Assessment
- Develop TPAs*
- Develop MTAs*
- Obtain Commander's Approval of Proposed TPAs and MTAs
- Document Audience TPAs, and Mission MTAs in JTIMS
- Determine/forward Lessons
- Identify/forward Issues

Outputs

- Command Training Guidance
- TPAs/MTAs
- Validate Lessons Learned
- Refined Issues
- CCTIs

Supported by JTIMS

20
21   Figure F-2
22   Inputs, Process, and Outputs
23
24 5. <u>Assessment Flowchart</u>. The flowchart for assessment (Figure F-3)
25 depicts the process steps necessary to derive the outputs mentioned
26 above. The JMETL, training objectives, task performance observations
27 (TPOs), and TPEs are the primary data points for assessment in Phase
28 IV, Assessment. Assessment should focus on the uniqueness of each

1 mission and the respective training requirements for developing an
2 overall MTA.
3
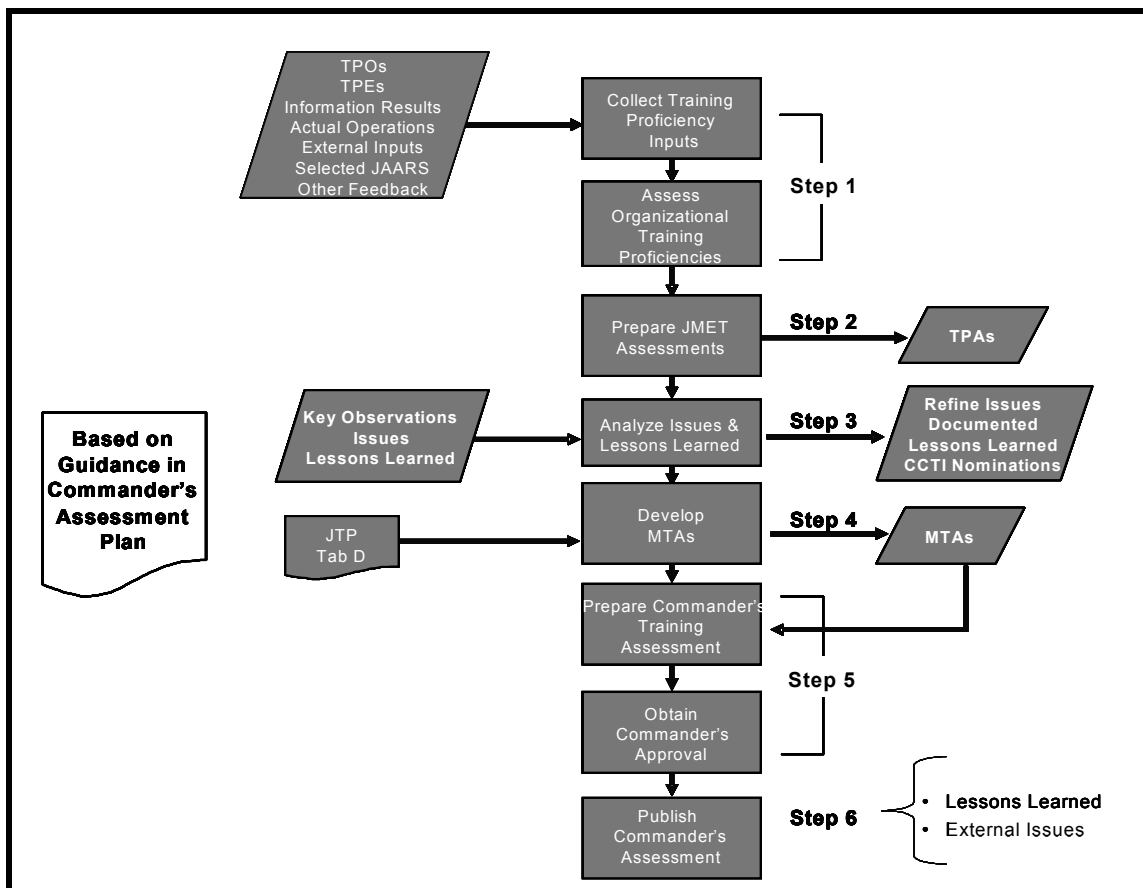
Figure F-3
Assessment Flowchart

4
5
6
7
8   a. Step 1. Collect Training Proficiency Inputs. The first step is to
9 review training proficiency data collected from within the command over
10 the period of the assessment (Figure F-4). Most of the data, in the form
11 of TPOs/TPEs, should be collected by the functional leader/trainer for
12 each training audience. For example, the J-2 functional leader/trainer
13 collects all the TPOs/TPEs relevant to J-2 training objectives (TPEs are
14 based primarily on TPOs collected in training events in Phase III,
15 Execution). Other sources include after-action reports from actual
16 operations, informal results from other internal training, selected joint
17 lessons learned, and feedback from external sources such as the
18 operations or training results derived by other organizations.
19

1
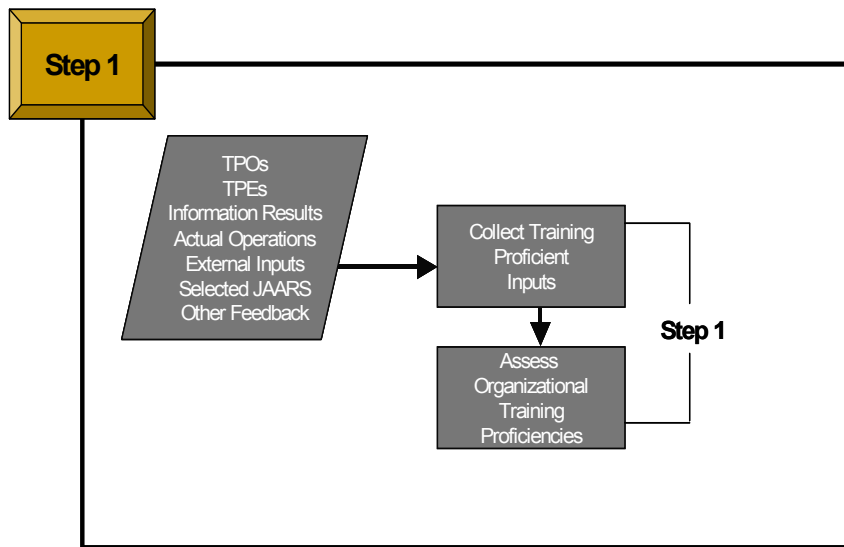
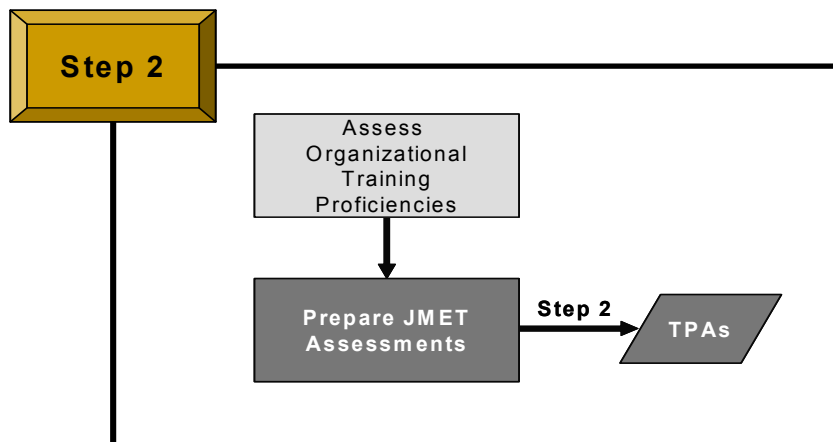

Figure F-4
Step 1 – Review Training Proficiency Inputs

    b. Step 2. Develop Training Proficiency Assessments. This is a two-
tiered process (Figure F-5). First, conduct an organizational assessment
and then associate the results to the JMETs.

Figure F-5
Step 2 – Develop Training Proficiency Assessments

        (1)   The commander/staff leader of each organization responsible
for performing a mission JMET makes an assessment of whether the
organization can perform the JMET, (i.e., whether the organization is
trained (T), partially trained (P), or is untrained (U)). The following
inputs support each decision: all TPEs for each organizational training

1 objective associated with the JMET, external feedback, actual operations,
2 and informal inputs, measured against the JMET standard (Figure F-6).
3 Information in the current JTP along with the inputs from Phase III are
4 used to make these assessments. Organizational TPEs were collected in
5 Step 1 and categorized by training objective. Training objectives are
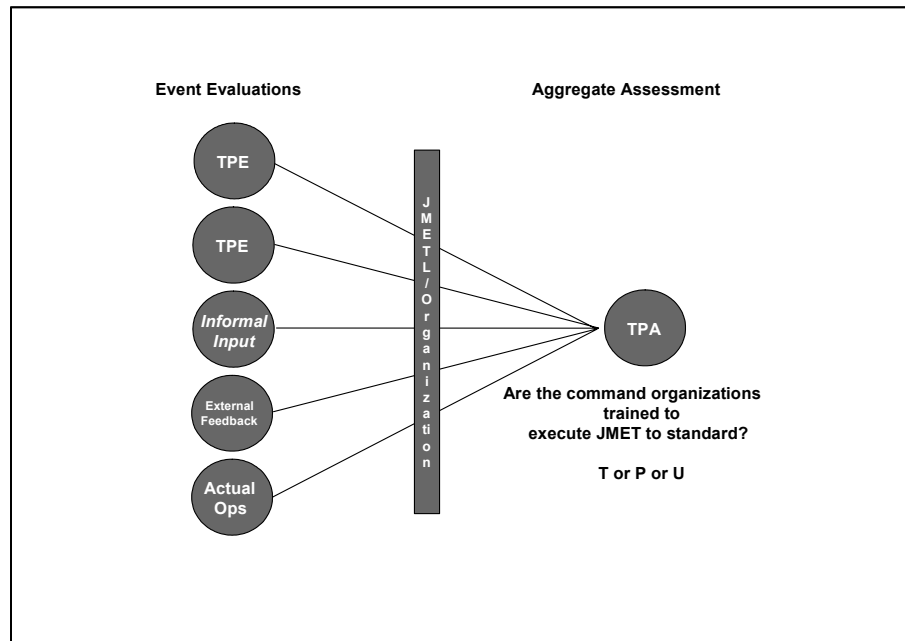6 linked to a specific JMET and JMET standard.
7

8
9   Figure F-6
10   Organizational TPA Development
11
12   c. Step 3. Analyze Observation, Issues and Lessons Learned.
13 Observations, and potential issues and lessons learned, were developed
14 during Phase III, Execution, and reporting stage of each training event.
15 Appropriate information was forwarded in the JAAR IAW CJCSI 3150.25.
16 During Phase IV, Assessment, the key observations, issues, and lessons
17 learned are collected and reviewed (Figure F-7). Observations are further
18 analyzed to determine validity as either an issue or lesson learned.
19 Issues are refined and categorized as either internal or external to the
20 command. Internal issues are assigned for resolution. Once assigned
21 and resolved, the issue may be documented as a lesson learned.
22 External issues are documented to identify deficiencies, possible causes,
23 and impact on the command's readiness. Lessons learned are
24 documented, and if not already reported through a JAAR, should be put
25 in JAARS format and submitted for inclusion in the JLLP database.
26 Finally, nominations for, or deletions from, the CJCS Commended
27 Training Issue (CCTI) program are selected for consideration. The lesson
28 learned should be fully documented to include the associated task,

1 conditions, and standards in order to assist others in determining
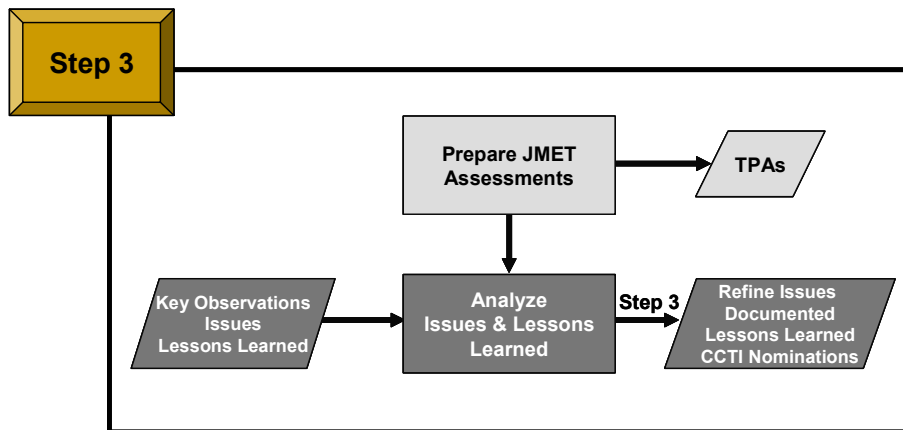2 applicability to their particular operational situation.

4   Figure F-7
5   Step 3 - Analyze Observation, Issues and Lessons Learned
6
7   d.   Step 4. Develop Mission Training Assessments. Based on
8   the JMET assessments, the command leader/trainer prepares the staff
9   recommendation on the command's training proficiency in performing its
10 missions (see Figure F-8). These assessments are reported in terms of a
11 demonstrated ability of assigned forces to perform the tasks comprising a
12 mission under the conditions and to the standards associated with the
13 commander's concept of operations. Again, Tab D of the current JTP
14 outlines which JMETs support each mission. The following inputs
15 support each decision: TPAs for all JMETs supporting the mission,
16 relevant lessons learned and issues that have an impact on the mission
17 and a standard for measurement. The commander's assessment plan
18 should provide guidance on measurement standards, priorities, and key
19 considerations in making MTAs (Figure F-9). Once the organizational
20 assessments are complete for each JMET, the commander assesses the
21 collective TPAs for the JMETs linked to a specific mission, and assigns an
22 overall assessment MTA of command proficiency for each mission being
23 assessed. This data is entered into JTIMS. JTIMS data includes all
24 JMETs required to accomplish each assigned mission, entered in Phase I,
25 Requirements. Once these assessments are entered into the working
26 matrix and approved by the commander in Step 5, they become the
27 inputs to Tab D for JTP development in the next cycle.
28

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2
3
4   Figure F-8
5   MTA Development
6
7
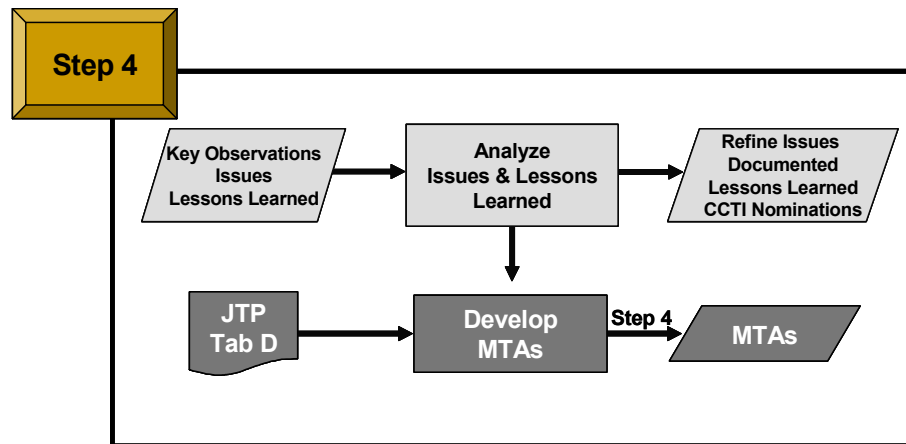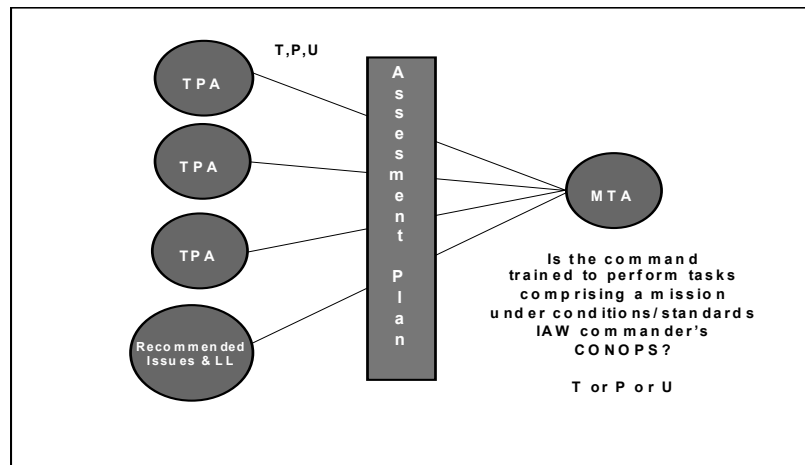
8
9   Figure F-9
10   Mission Training Assessment Development
11
12   e.   Step 5. Prepare Staff Training Assessment/Commander's Review
13   and Approval. Once all the assessments have been completed, the staff
14   prepares a recommendation for the commander that includes the
15   proposed TPAs and MTAs with supporting documentation, refined issues,
16   documented lessons learned, CCTI nominations, and possible inputs for
17   the commander's training guidance for the next cycle. The commander
18   approves or adjusts the staff recommendations and provides more
19   definitive guidance for the next training cycle. The commander's
20   decisions are then captured in the assessment products, which include
21   the approved assessments (TPAs, MTAs), command nominations to the

1 CCTI program, lessons learned for inclusion in the JLLP data base, and
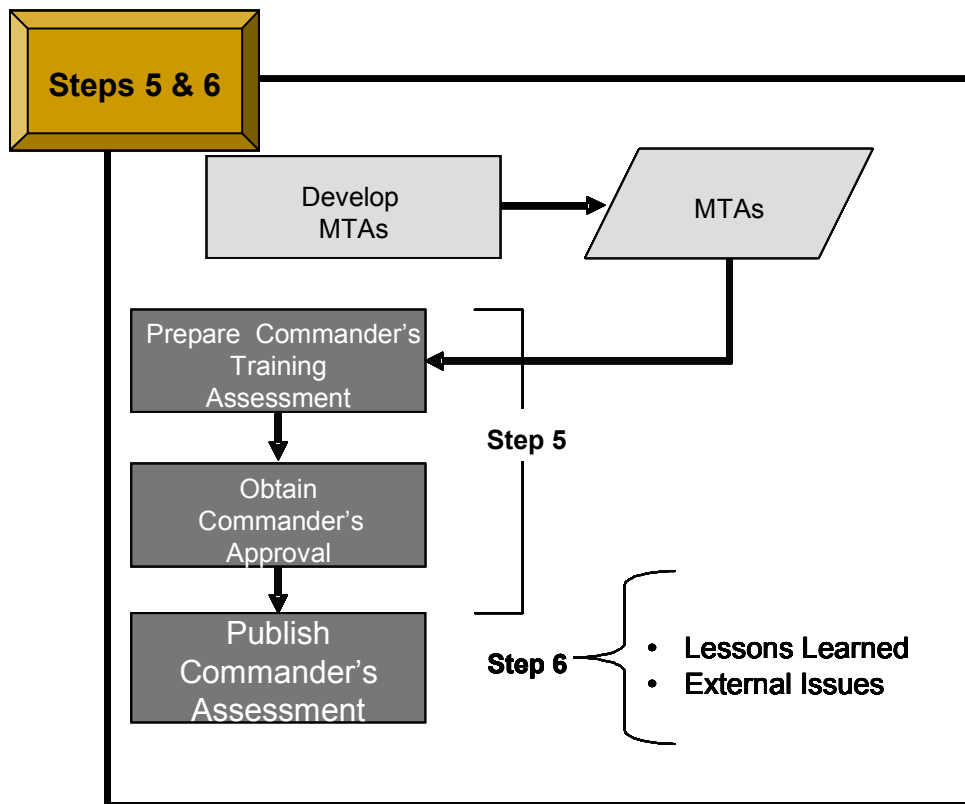2 issues for external action (Figure F-10).
3

4
5   Figure F-10
6   Steps 5 & 6 – Prepare CDR's Assessment/Publish CDR's Assessment
7
8   f.   Step 6. Publish Commander's Assessment. The commander's
9 training guidance (Tab A to the JTP) outlines the commander's objectives
10 and plan for training the force during the current and future training
11 cycles. Most of the information contained in the commander's
12 assessment can be derived by answering three questions: where have we
13 been, where are we now, and where are we going? Drafting answers to
14 these three questions, presenting them to the commander, receiving the
15 commander's feedback, and publishing the commander's assessment at
16 the conclusion of the assessment phase is the process for developing Tab
17 A of the next JTP.
18
19 6.   Products and Milestones. The JTS Assessment Phase processes
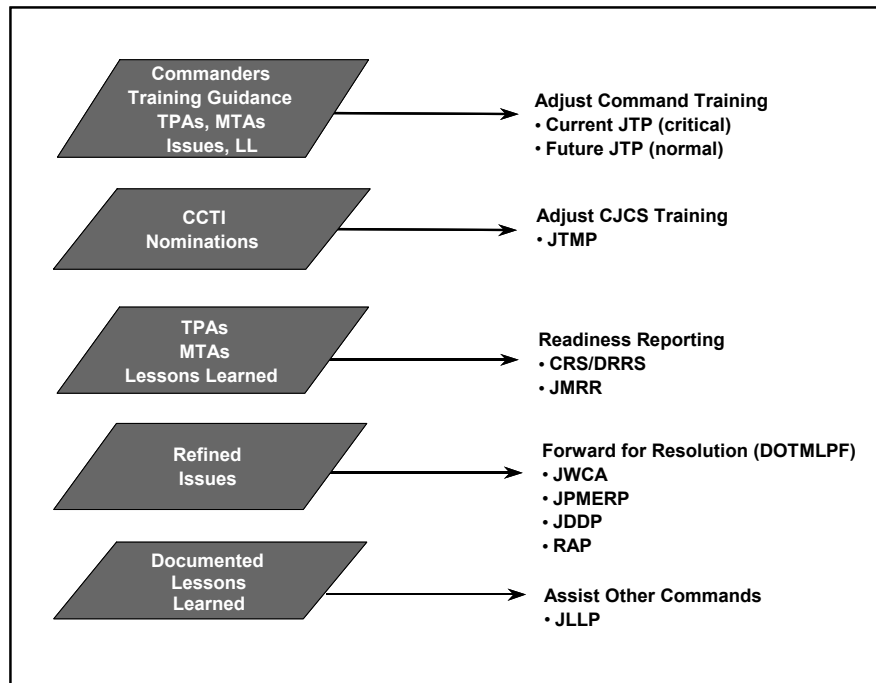20 generated both internal and external outputs (see Figure F-11).

1

<table>
<tr><td>Commanders
Training Guidance
TPAs, MTAs
Issues, LL</td><td>→</td><td>Adjust Command Training
• Current JTP (critical)
• Future JTP (normal)</td></tr>
<tr><td>CCTI
Nominations</td><td>→</td><td>Adjust CJCS Training
• JTMP</td></tr>
<tr><td>TPAs
MTAs
Lessons Learned</td><td>→</td><td>Readiness Reporting
• CRS/DRRS
• JMRR</td></tr>
<tr><td>Refined
Issues</td><td>→</td><td>Forward for Resolution (DOTMLPF)
• JWCA
• JPMERP
• JDDP
• RAP</td></tr>
<tr><td>Documented
Lessons
Learned</td><td>→</td><td>Assist Other Commands
• JLLP</td></tr>
</table>

2
3   Figure F-11
4   Assessment Products
5
6   a. Internal uses of Training Products. The training assessment
7   products are the primary tool the commander uses to improve training
8   proficiency. These products can be used to make immediate changes to
9   the current joint training plan or for input into future joint training
10   plans.
11
12   (1) Adjust the Current Joint Training Plan. If, during the
13   evaluation of a joint training event, a deficiency or shortfall is deemed
14   critical to mission accomplishment, the commander may elect to revise
15   current training plans to correct the identified deficiency within the
16   current training cycle. Current training plan revision might have
17   significant short-term impacts on joint and Service training events that
18   are already planned.
19
20   (2) Input to Future Joint Training Plans. When commanders
21   determine that deficiencies can be corrected with the resources allocated,
22   they direct that assessment results be included in future training.
23   Commanders should focus their training resources and efforts on JMETL
24   tasks assessed "P" (partially trained) or "U" (untrained). However, some
25   tasks assessed as "T" (trained) may still be included as valid

requirements for future JTPs because of other factors such as perishability or personnel turnover.

   b. External Uses of the Training Product. Collective training results are made available to other users of training products (see Table F-1). The outputs of training assessment can be integrated into many different documents and can be used for short- or long-term issue resolution, readiness reporting, or modifying training requirements. An obvious user would be the JCLL. This organization benefits others by gathering, analyzing and archiving lessons learned and resources expended for joint training.

      (1) Issue Resolution Process. Complex issues should be defined internally in terms of joint doctrine, agile organizations, joint training, enhanced materiel, innovative leadership, high-quality people, and capable facilities (DOTMLPF). External reporting of issues provides a means for commanders to gain visibility and obtain resources for issues outside their internal control.

      (2) Joint Monthly Readiness Review (JMRR). The JMRR is the central component of the CJCS Readiness System (CRS). The CRS focuses on near-term (execution and budget year) readiness issues. If a training strength or deficiency reflects current joint readiness status, the combatant commander may include the assessment in the JMRR. DoD has recently released the Department of Defense Readiness Report System (DRRS) dated 3 June 2002. This system measures and reports on the readiness of military forces and the supporting infrastructure to meet missions and goals assigned by the SecDef. Refer to reference i. for amplification of the directive.

      (3) Joint Warfighting Capability Assessment (JWCA). If the strength or deficiency appears to impact long-term readiness, the JMRR may inform the JWCA process. While the JWCA process focuses on long-term issues, the joint readiness JWCA team may review and work short-term readiness issues as well.

      (4) Joint Doctrine Development Program (JDDP). This process is used to develop, assess, and revise the current joint doctrine/JTTP. The JDDP is discussed in detail in JP 1-01.

      (5) Professional Military Education Review Process (PMERP). Feedback on PME curricula currency, quality, and validity is available through a variety of sources. The sources include the combined actions

1 of the individual colleges, conferences, Military Education Coordination
2 Conference (MECC) meetings, and formal feedback systems used by the
3 various PME components.
4

Process/ Product	Originated By	How Utilized	Reference
Issues	Combatant Commander	Inputs into the CJCS JWCA, JMRR, and RAP programs as well as internal Combatant Commander and Service issue resolution programs	N/A
JMRR	J-3	CJCS's primary assessment of readiness	CJCSI 3401.01B
JWCA	OSD, JCS, Unified Commands, & Defense agencies	Recommendations to CJCS for input to CPR and CPA $\Rightarrow$ OSD for DPG and programs	CJCSI 3137.01
JDDS	JCS, Combatant Commanders, or CDR, JWFC	Develop/change joint doctrine	JP 1-01, CJCSI 5711.01
PME Review Process	Military Education Coordination Conference, PME feedback	Modify PME curricula dependent upon those issues reviewed	CJCSI 1800.01
JSPS	CJCS based on inputs from joint training/exercise results	CJCS reviews results for improving, revising, or deleting existing plans	CJCS MOP 7 (Revision 1)
JAAR	Exercise Sponsor	Inputs into CJCS JLLP and RAP as well as internal command programs	CJCSI 3150.25A
JLLP	CJCS J-7	Forwards and monitors issues nominated by the JCLL into an established issue resolution process: e.g. RAP, JWCA, etc.	CJCSI 3150.25
RAP	CJCS J-7	Uses working and steering groups to analyze issues for CJCS	CJCSI 5716.01
CCTI	CJCS, via input from Combatant Commanders, JCS and Service Chiefs	CJCS for inclusion in The JTMP for validation/review	CJCSI 3500.2
Joint Vision	CJCS	Project future training requirements	JV2010 JV2020
JROC	Operational Concept Development	Submit a solution to an identified deficiency via a DOTMLPF Change Recommendation	CJCSI 3180.01

5
6 Table F-1
7 Training Products Users Matrix
8
9 (6) Joint After Action Report (JAAR). The JAAR provides the
10 official description of a joint training event or operation and identifies the
11 Lessons Learned, Issues and/or Observations.
12

(7) Joint Center for Lessons Learned (JCLL). The JCLL collects, processes, analyzes, maintains and distributes lessons learned; provides analysis in support of the issue resolution process; and recommends potential issues to the Joint Staff, J7 for review and possible incorporation into an issue resolution process.

(8) Remedial Action Program (RAP). The RAP process is designed to correct deficiencies identified through operations, the execution of the JTS, or other sources. RAP fills a critical time void between the JMRR and JWCA. A RAP candidate has a shortcoming in existing policies, supporting strategies, plans, procedures, materiel, or forces that may be corrected by specific action. The JCLL supports the RAP working group and steering group by conducting front-end analysis of defined issues and provides defined issues to the RAP working group and steering group for consideration.

(9) CJCS Commended Training Issues (CCTIs). CCTIs are special-interest items developed from all-source lessons learned, readiness reports, operational assessments, and those issues that have been corrected within the joint staff and require combatant command validation. These issues are incorporated into the JTMP to ensure appropriate visibility by the Combatant Commands in developing their JTPs as part of the Chairman's training guidance.

(a) Commanders and joint training and exercise planners should consider CCTIs for special emphasis in the upcoming training cycle. Moreover, each command should assess the prescribed CCTIs in relation to its theater conditions as a key joint training readiness indicator.

(b) CCTIs are developed from combatant commander, CSA, Service, and Joint Staff inputs. The JS/J7 will publish a message calling for CCTI inputs for the next CCTI development cycle. CJCS will review and approve submitted CCTIs and post special interest items in the JTMP.

(10) Other Agencies. The training products identified in Table F-1 should be reported to other agencies requesting status reports. Inputs may also be included in the quarterly Readiness Report to Congress prepared by the Joint Staff. This type of assessment is generally only a reporting venue. However, defined issues requiring correction or validation generated from Combatant Commander readiness assessments are transferred to the CJCS capability assessments programs for correction.

7. <u>Summary of Phase IV, Assessment</u>. Assessment focuses on the joint force command's capability to accomplish its assigned missions. The commander applies subjective judgment to the aggregate of various objective data available. The assessment phase completes the joint training cycle, and begins the next cycle because it drives future training plans. Phase IV may also impact near-term training if critical shortcomings or deficiencies in a command's proficiency, or in overall joint procedures, are identified. Since the training aspect reflects a command's mission capability, the Assessment Phase also provides input to CJCS and combatant command readiness reporting systems. The main output of Phase IV, (Assessment) is the commander's assessment that will be used to develop commander's guidance in Phase I.

8. <u>Joint Training System Summary</u>. The JTS provides a systematic approach to training that identifies mission-based capability needs in the requirements phase; identifies and codifies prioritized training requirements in a joint training plan in the planning phase; conducts and evaluates cost-effective and efficient training in the execution phase; and gathers and analyzes the collective results of joint training in the assessment phase. The JTS is a cycle where all of its phases are being simultaneously conducted at any one time; JMETL is continuously refined, future planning is happening in the midst of execution, and assessments are being updated and reported. In short, the JTS represents an interlocking series of disciplined, logical, and repeatable processes that are designed to continuously improve joint training and readiness.